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3624

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Altomare et al.
Serial No. : 09/397,704
Filed : September 16, 1999

Art Unit : 3624
Examiner : Jagdish Patel

Title : SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED
EQUITY LINKED FINANCIAL INSTRUMENTS

Commissioner for Patents
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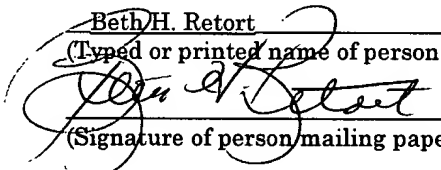
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Application Number	09/397,704
Filing Date	September 16, 1999
First Named Inventor	Gerald C. Altomare
Title	SYSTEM AND METHOD FOR
Art Unit	
Examiner Name	
Attorney Docket Number	040158

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Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	12/13/06
Name	U. GARY BEESON	Telephone	212 537 2448
Title and Company	Morgan Stanley, Assistant Secretary		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Gerald C. Altomare et al.Application No./Patent No.: 09/397,704 Filed/Issue Date: September 16, 1999Entitled: SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED EQUITY LINKED FINANCIAL INSTRUMENTS

Morgan Stanley, a Delaware corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

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The extent (by percentage) of its ownership interest is _____ %
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A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

12/13/06

Date

212 537 2448

Telephone number

W. GARY BEESON

Typed or printed name

Signature

Assistant Secretary

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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